

Office of Democratic Initiatives
Bureau for Latin America and the Caribbean JUN 30 1989

FY 1990/1991 Action Plan
(LAC/CA Regional)

June 1989

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Doc. 7587A

Part I. Strategy and Overview of Performance

Strengthening of democratic institutions and respect for human rights is one of A.I.D.'s four strategic goals for addressing the development problems of the LAC region. The Democratic Initiatives Program contributes to MBO Objective No. 12, Strengthening Democratic Institutions. The program has two key components: the Administration of Justice (AOJ), and other Democratic Initiatives (DI) such as legislative strengthening, support for electoral processes, a free press and civic education. Since FY 1988, the Office of Democratic Initiatives has worked to develop an overall strategy and incorporate all elements of the program into a coherent package supporting the basic goal. This has been hampered by staff constraints and the earmark process which has drawn the lion's share of resources to the AOJ component. To rectify this imbalance, the administration requested authority from the Congress, in its FY 1990-1991 A.I.D. authorization bill, to use AOJ and DI funds interchangeably. This authority is granted in Section 1203, "Assistance for Human Rights and Democratic Initiatives" in the HFAC Discussion Draft, dated March 17, 1989. This draft Authorization bill also makes the Democracy program worldwide. Since this bill is unlikely to be approved by FY 1990, it is not yet known what the appropriate Congressional committees will do with A.I.D.'s request.

The FY 1990-1991 Regional Democracy Program request (including AOJ bilateral levels) totals \$33.2 million and \$29.0 million, respectively. The \$4 million decrease is almost entirely in the AOJ area, as we approach maximum absorptive capacity in both bilateral and regional programs. The FY 1990 AOJ level of \$20 million is the Administration's CP request. This level will permit us to pay off almost all the AOJ program mortgage, with the exception of the planned major increase in the Guatemala bilateral program. The proposed FY 1991 level of \$17 million is sufficient to accommodate the mortgage in the Regional Administration of Justice/ILANUD project; to continue funding the FY 1989 Colombia AOJ sector program; and to initiate new AOJ programs in Chile and Uruguay, if political circumstances warrant.

The ICITAP component, which is managed by the State Department, is reduced in FY 1991 in proportion to the overall cut in the AOJ program. Furthermore, LAC/DI notes the continuing lack of an evaluation of the ICITAP program and the lack of an explicit strategic framework for the program in general. Without this strategic framework it is not clear what policy issues ICITAP is trying to address: civilian control of police forces, lack of a career ladder for criminal investigators, etc.. In light of the foregoing, and until such omissions or deficiencies are corrected, LAC/DI recommends to

the LAC Bureau a \$4.4 million funding level in FY 1991 for the ICITAP program. This amount will have to be fully vetted with ARA at the appropriate management level before a final funding decision is made. However, if an increase is decided for ICITAP, the incremental amount should be additive to the \$17 million, and not be made at the expense of the rest of the AOJ program.

The FY 1990-1991 AOJ program also includes a new grant to the American Bar Association under the Regional Administration of Justice Project. Finally, the AOJ funding level also permits a small increment in the FY 1989 AOJ Level of Effort contract in order to fully fund it for the authorized 24 month period.

The FY 1990-1991 Regional Democratic Initiatives program (DI) is only slightly increased over the FY 1990 CP request level of \$10.6 million. Two new projects are proposed: Citizen Participation (formerly Regional Leadership Development) and Election Commodities Support. These projects will be authorized as Handbook 13 grants to specific NGOs for project activities detailed in the NPDs. The Elections Commodities Support Project is especially important in view of the eight presidential elections scheduled during the Action Plan period. Both projects support and complement bilateral activities and allow for Mission buy-ins. With the addition of one new professional staff, the LAC/DI will be able to manage these new regional projects.

The DI Action Plan levels for two important "umbrella projects", CA Regional Strengthening Democracy and LAC Regional Human Rights Initiatives, allow for the financing of election assistance in Nicaragua in FY 1990, including observer missions; continued research on civil/military relations in LAC countries; key research on DI indicators; additional assistance for the democratic transition in Paraguay; and new assistance to Haiti in support of the Democratic Institutions Strategy. All funding requests are for ESF with the exception of limited DA funding from the LAC Regional PSEE Account. This DA funding is critical if we are to continue support for the democratic transition in Chile. The projects which directly support this are the SUNY/Albany Legislative Assistance Center (CEAL) in Valparaiso and civic education through a local NGO (Participa), which is an outgrowth of the successful civic crusade during the 1988 Plebiscite. Finally, continued funding is provided to the Central American Journalism project which will be in full implementation.

The only area that is eliminated by the DI Action Plan levels is the important area of municipal development and decentralization. Due to funding and staff constraints, no special regional mechanisms will be developed in this area during the Action Plan period. LAC/DI will limit itself to the identification of appropriate technical assistance to support Mission bilateral programs in municipal development and decentralization.

In summary, the FY 90-91 Action Plan continues the course set in FY 1988-1989 and maintains a funding level consistent with the FY 1987 Full Funding Report to Congress. It also reflects the recommendations of the Democratic Development Framework Statement of February, 1988 and the revised Democratic Initiatives Strategy Statement (in draft).

A. Plans by Goal and Objective 12: Strengthen Democratic Institutions

1. Country Development Trend Indicators: Not Applicable

2. A.I.D. Program Performance Indicators

	1986	1987	1988	1989	1990	1991
	Actual	Actual	Proj	Actual	Proj	Actual

Strengthened Judiciaries

No. of Participants-ILANUD	2,877	2,375	1,729	2,004	700	800
No. of Legal Texts Provided	1,623	5,000	3,350	650	1,300	0
No. of Long-term Students-ILANUD	9	13	12	11	11	0

Strengthened Legislatures

No. of Regional Seminars	NA	NA	NA	NA	2	2
No. of In-Country Seminars	3	0	0	0	5	12
No. of Long-term students	NA	NA	NA	NA	5	10
Inter-Parliamentary Exchanges	1	2	1	2	2	2

Strengthened Electoral Processes

No. of Tribunals Receiving TA	3	3	4	5	5	5
No. of Officials Trained	NA	NA	497	300	300	
No. of Pollwatchers Trained	NA	NA	10,000	12,000		
No. of Participant days (CAPEL)	2,726	904	2,546	2,000		
No. of Participant days (Reg. Assn.)	90	314	430	400	400	400
No. of Election Observation Missions	NA	NA	NA	4	10	4

Improved Human Rights Climate

No. of Participants Trained (IIDH)	2,273	2,508	2,315	2,392	2,785	2,835
No. of Research Projects (IIDH)	2	3	3	3	2	2
No. of Needs Assessments (CSI)	NA	2	2	1	0	0
No. of Small Grants/Indian Grps (CSI)	-	-	5	0	15	10

Development of Regional/Local Institutions
which Improve Administration of Justice

	1986	1987	1988	1989	1990	1991
	Actual	Actual	Proj	Actual	Proj	Proj
No. of Sector Assessments Completed	2	3	1	1	0	0
No. of Participants Trained (Arbitration)	NA	70	200	400	432	650
No. of Bar Assoc. Conferences/Participants	NA	6/114	6/114	12/732	5/588	7/700
No. of Regional Conferences (ASIL/OAS)	1	1	1	2	1	0

Broader Citizen Participation

No. of Trainers Trained (OEF)	26	50	189	250	200	TBD
No. of Community Groups Served (OEF)	11	39	88	164	90	TBD
No. of Staff Trained (OEF)	20	25	35	30	30	TBD
No. of Participants Trained (OEF)	660	1,500	7,170	7,400	5,400	TBD
No. of Partner Committee Members (NAPA)	420	540	--	840	960	TBD
No. of Projects Assisted (NAPA)	338	375	--	333	250	TBD
No. of Participants Trained (NAPA)	160	200	--	150	150	TBD
No. of Small Grants Approved (NAPA)	20	12	--	8	10	TBD

Strengthened and More Professional Free Press

Journalism Needs Assessments	5	--	--	--	--	--
No. of Journalists Trained	--	20	100	45	40	450
No. of Educators Trained	--	--	15	0	15	15
No. of Owners Trained	--	--	180	0	15	20
No. of Roundtables	--	--	2	2	3	10
No. of Advisory Committee Meetings	--	--	2	2	1	2
No. of Regional Associations Established	--	--	--	--	0	0
No. of Textbooks Produced	--	--	--	--	4	4
No. Journalism Review Recipients	--	--	--	--	--	2,000
						3,000

Improved Civilian/Military Relations

No. of Research Papers	--	--	--	17	--	5
No. of Conference Participants	--	--	--	50	39	80
						100

3. KEY POLICY DIALOGUE ACTIONS AND CONDITIONALITIES PLANNED FOR BALANCE OF CURRENT FY AND ACTION PLAN PERIOD

LAC/DI does not directly conduct policy dialogue. It is anticipated that the regional activities funded through LAC/DI will assist the bilateral Missions to achieve their policy dialogue agenda. Nonetheless, LAC/DI supports and encourages bilateral Missions to support the following policy dialogue items.

A. Administration of Justice

- Commitment to establish career judiciaries and professionalism of judicial personnel.
- Commitment to provide adequate budgetary support for the judiciary.
- Commitment to undertake judicial reform (as identified by Sector Assessment, National Judicial Reform Commissions, USAID Missions)
- Financial commitment to ILANUD through provision of local currency endowments, and budgetary support.

B. Strengthening Democracy

Governmental

- Commitment of host countries to ensure free and fair elections through independent National Election Tribunals with adequate budgetary support to carry out elections.
- Commitment of host countries to the independence of the legislative branch through provision of budgetary support to ensure adequate office space, staff and equipment to carry out its functions.
- Commitment of host countries to ensure independence of media through reduced government control of information and licensing of journalists.

Non-Governmental

- Commitment from other donors to provide budgetary support to the Inter American Institute of Human Rights
- Commitment of Associations of Journalists, owners of Media and Faculties of Journalism to establish Center for Communication in Central America.

4. KEY PROJECT/PROGRAM ACCOMPLISHMENTS PLANNED FOR BALANCE OF CURRENT FY AND ACTION PLAN PERIOD

Quarter/Year

A. Administration of Justice

- Execution of Level of Effort Contract 4th Q/FY89
- Signature of Grant Agreement for A0J in Argentina 4th Q/FY89
- Sector Assessment in Ecuador 4th Q/FY89
- ILANUD Institutional Development Plan 1st Q/FY90
- Evaluation of Private Sector Bar Grants 2nd Q/FY90
- Evaluation of ICTIAP 2nd Q/FY90
- Authorization of Bilateral A0J Project in Ecuador 3rd Q/FY90
- Interim Evaluation of Regional Administration of Justice Project 4th Q/FY90
- Authorization of Multi-Year A0J Project in Chile 2nd Q/FY91
- Authorization of Multi-Year A0J Project in Uruguay 3rd Q/FY91

B. Strengthening Democracy

- Execution of Regional Legislative Management Project 4th Q/FY89
- Evaluation of Civic Education/Leadership Training 4th Q/FY89
- Execution of Election Support Program for Nicaragua 4th Q/FY89
- Authorization of Election Commodities Support Project 1st Q/FY90
- Design and Authorization of Civic Participation Project 2nd Q/FY90
- Authorization of follow-on IIHR and CAPEL Projects 3rd Q/FY91

5. Projects Supporting Objective

Obligations Thru

Title	Number	New (N)	Type of	LOP	L/G	CUM	EY	EY	EY
		Ongoing							
LAC Regional Administration of Justice	598-0642	0	ESF	Cont	G	2,025	3,245	3,500	5,300
-ILANUD									
-FIU C.A.									
-Private Sector Bar Grants									
-Level of Effort									
-Colombia/FES									
-Chile									
-Argentina									
-Uruguay									
LAC ICTIAP	598-0644	0	ESF	Cont	G	2,090	2,850	3,500	2,000
CA Regional Administration of Justice	597-0002	0	ESF	Cont	G	11,938	3,200	2,750	2,300
-ILANUD									
-FIU C.A.									
-Private Sector Bar Grants									
-Level of Effort									
CA ICTIAP	597-0018	0	ESF	Cont	G	2,981	3,200	3,500	2,400

O b l i g a t i o n s I h r w

Title	Number	New (N) Ongoing (0)	Type of Funding	LOP (\$000)	L/G LC	CUM	FY	FY	FY
						FY 88	1989	1990	1991
CA Strengthening Democracy	597-0003	0	ES/DA	Cont	G	10,015	1,440	1,550	1,550
-IHR & CAPEL									
-PEP/OEF									
-Partners of Americas									
-Nicaragua Elections									
-Panama Info Center									
-PD&S									
-Guatemala Congress									
-Civil /Military (AU)									
LAC Human Rights Initiatives	598-0591	0	ES/DA	Cont	G	6,604	1,900	1,350	1,600
-IHR & CAPEL									
-NED/Paraguay									
-Political Parties (AU & Bolivia)									
-Election Observers									
-Chile Voter Ed. I & II									
-PEP/OEF									
-Partners of Americas									
-Haiti Democracy: IHRED & Others									

O b l i g a t i o n s T h r u

<u>Title</u>	<u>Number</u>	<u>New (N) Ongoing (0)</u>	<u>Type of Funding</u>	<u>LOP (\$000)</u>	<u>L/G LC</u>	<u>CUM FY 88</u>	<u>FY 1989</u>	<u>FY 1990</u>	<u>FY 1991</u>
<u>Chile Legislative Research Center</u>	598-0777	N	DA	1,000	G	-	500	500	-
<u>Chile Civic Participation</u>	598-0668	N	DA	2,000	G	-	-	500	1,000
<u>Regional Legislative Management</u>	598-0770 597-0040	N	ESF	12,000	G	-	250 1,100	2,000 750	1,500 1,000
<u>Regional Citizen Participation</u>	598-0663 597-0041	N	ESF	8,000	G	-	-	1,500 500	1,700 1,000
<u>Election Commodities Support</u>	598-0778 597-0049	N	ESF	900	G	-	-	250 250	200 200
<u>CA Journalism Strengthening</u>	597-0031	0	ES/DA	12,000	G	2,107	500	1,500	1,300

Strengthened Judiciaries: The Regional Administration of Justice Project will continue to place heavy emphasis on training programs directed at investigative, prosecutorial and judicial personnel. The two principal vehicles for accomplishing this objective are: the Latin American Institute for the Prevention of Crime and the Treatment of Offenders (ILANUD) and the International Criminal Investigative Training Assistance Program (ICITAP).

The ICITAP program is implemented by the Department of Justice and managed by the Department of state. It conducts training courses in Central America and the Caribbean in investigative skills; facilitates police/judicial cooperation; strengthens police ethics; supports the development of forensic skills and laboratories; and is moving into the broader area of police management. During the Action Plan period, LAC/DI supports the continued yearly funding of the ICITAP program; however, LAC/DI considers it important that the Department of State conduct an independent, outside evaluation of the program early in the Action Plan period.

The ILANUD program, based in San Jose, Costa Rica, remains the cornerstone of the Administration of Justice program. In FY 1989, an amendment adding on an additional \$13.6 million was approved. This amendment provides continued funding for training, pilot projects and advisory services throughout the LAC area until December 31, 1992. The training programs and advisory services are specifically directed at improving the skills of participants and instilling in them a higher regard for democratic principles, human rights and judicial ethics. ILANUD's services are a key element in our efforts to professionalize the judicial sector in the participating countries and improving their independence, efficiency and fairness. During the Action Plan period, AID program managers will work closely with ILANUD to improve its management capacity, refine its perceived role in Latin America and focus on its long run sustainability. To this end, ILANUD will prepare an institutional development plan which prioritizes program activities and provides benchmarks for programmatic and financial viability.

Finally, during this FY and during the Action Plan Period, administration of justice activities will be initiated in several new countries including Chile (FY 89); Argentina (FY 89); Ecuador (FY 90), and Uruguay (FY 91).

Strengthened Legislatures: Building on successful small-scale regional programs in the area of inter-parliamentary dialogue and orientation training for new legislatures, LAC/DI initiates a major regional project in FY 89 in the area legislative management. Most Latin American countries have weak legislatures. This project will address the problems of poorly-trained staff and resources available to legislatures to carry out their role; lack of professionalism among staff and legislators; and inadequate administrative support systems to execute law drafting and budgetary review functions. Project resources will provide training, technical assistance and limited research and commodity support to legislatures in the LAC region to strengthen their institution capacity to analyze and manage issues, improve the flow of information needed to develop legislation and encourage communication and cooperation among LAC parliamentarians.

Also, by the end of the Action Plan period, the Legislative Research Center, established with assistance of the State University of New York at Albany, at the Catholic University of Valparaiso, Chile (AID Project No. 598-0777) will be a center of expertise in the areas of legislative management, research and information systems. It is anticipated that this organization will be able to provide technical assistance and training to other legislatures in the region.

Strengthened Electoral Processes: During the last Action Plan period several of the LAC countries have undergone democratic elections. LAC/DI has assisted in various ways: through CAPEL's technical assistance and training programs (Bolivia and Guatemala); through provision of election commodities (Paraguay); voter education and participation programs (Chile and Paraguay); and, through the deployment of international election observation programs (Panama, Chile and Paraguay).

LAC/DI will continue its core funding of the InterAmerica Institute of Human Rights' Center for Electoral Assistance and Promotion. LAC/DI will support CAPEL's efforts to broaden its resource base through other donor support. The elections of CY 1989 pointed out the lack of an appropriate mechanism for the expedited procurement of election commodities such as indelible ink, ballot paper and other supplies. To respond to this need, LAC/DI is proposing a new project with the International Foundation for Electoral Systems (IFES) to assist National Electoral Tribunals plan for and procure the commodities and equipment needed to carry out national elections. This will further strengthen the independence and integrity of National Election Tribunals.

Improve Human Rights Climate: During the Action Plan period, the center of LAC/DI's Human Rights Program will be the grant to the Inter American Institute of Human Rights (IIHR) based in San Jose, Costa Rica. The IIHR will continue its training and research activities through FY 91. The Institute will focus efforts in improving its management procedures, professionalization of its staff and broadening its resource base. LAC/DI, based on the results of an interim evaluation provided program funds for specialized technical assistance for institutional development. The Institute is utilizing this assistance to develop a strategic framework, improve financial management procedures, implement a personnel system and create a management information system.

Development of Regional Institutions which Improve the Administration of Justice: The activities of the American Bar Association (ABA) and the Inter American Bar Foundation (IABF) will continue during the Action Plan period. LAC/DI will assess the original objectives and accomplishments of the programs by conducting an independent outside evaluation during FY 90. Based on the results of this evaluation, LAC/DI will consider the merits of follow-on efforts by these private sector grantees.

Broader Citizen Participation: During the Action Plan period, support will be increased for activities that promote participation in democratic processes, particularly at the community level. A new regional program will build on the community education capacity developed in Central America by OEF International and Partners of the Americas, in Chile by the Crusade for Citizen Participation, and by other groups throughout the region. The programs will be aimed at training members of civic and community groups in organizational skills that enable them to work together effectively to promote or defend shared interests; helping form and strengthen community groups in rural areas; providing technical assistance and training through exchanges of municipal and provincial officials and heads of service organizations; and carrying out civic and voter education programs.

Strengthened and More Professional Free Press: During the FY 1988/1989 period, the Central American Strengthening Journalism project (AID No. 597-0031) initiated project activities. During this Action Plan period, the project will be in full implementation. The Master's Degree program which has been developed under the project will start in 1990 with 15 students with a total of 30 in 1991. The program will be conducted entirely in Spanish. Publication of the Spanish Language Quarterly Journalism Review will begin with distribution throughout Central America. The Central American Regional Associations for both owners of media and journalists will be established and functioning. Their primary function will be to establish lines of communication on common professional problems with the end of finding common regional solutions. FIU will continue to commission four new Spanish language textbooks per year for use in national level journalism schools. Finally, the Roundtable Discussions which bring together both practitioners and academics will continue. There are two regional discussions planned per year and two in each country per year. These have produced useful discussions on the future of journalism and journalism education in each country.

Improved Civilian-Military Relations: American University's May 1988 conference in Washington, D. C. brought together more than 100 internationally recognized scholars, civilian defense experts and military leaders from North and Latin America, who initiated a region-wide dialogue on civilian-military relations. Discussions revealed widely differing points of view between civilians and military and among geographic regions on what constitutes a democracy and on the military's role as a political actor. Most of the military participants advised acceptance of democratic regimes, although they were skeptical about the ability of civilian officials and politicians to ensure social and political stability. Proposals to continue the dialogue were warmly endorsed, and the defense ministers of Guatemala and Uruguay offered to host regional meetings. A meeting on Central America will be held in June 1989 and, assuming funding is obtained, a meeting on South America will take place in 1990.

B. Summary Program Funding Tables

The following Summary Program Funding Tables outline the Office of Democratic Initiatives regional portfolio broken out by its two principal components: Administration of Justice and other Democratic Initiatives. Additional Summary Tables also delineate funding provided under the bilateral programs. No Summary Project List is provided as all projects directly support Objective 12: Strengthening Democratic Institutions.

Table 1
Regional Democracy Initiatives Projects
(\$000)

	<u>FY 89</u> ^{1/}	<u>FY 90</u>	<u>FY 91</u>
A. <u>Administration of Justice</u>			
(ESF)			
1. <u>CA Regional AOJ (597-0002)</u>			
a. ILANUD/FIU	2,800	2,300	2,300
b. Private Sector Grants	-	200	-
c. Level of Effort Contract	<u>900</u>	<u>250</u>	<u>-</u>
Subtotal	\$ 3,700	\$ 2,750	\$ 2,300
2. <u>LAC Regional AOJ (598-0642)</u>			
a. ILANUD/FIU	1,400	2,500	2,300
b. Private Sector Grants	250	-	500
c. Columbia	500	1,000	1,000
d. Chile*	200	-	1,000
e. Argentina	200	-	-
f. Uruguay*	-	-	500
g. Level of Effort Contract	<u>650</u>	<u>-</u>	<u>-</u>
Subtotal	\$ 3,200	\$ 3,500	\$ 5,300
3. <u>ICITAP (597-0018/598-0644)</u>			
a. CA ICITAP	3,200	3,500	2,400
b. LAC ICITAP	<u>2,850**</u>	<u>3,500</u>	<u>2,000</u>
Subtotal	\$ 6,050	\$ 7,000	\$ 4,400
AOJ Total	\$12,950	\$ 13,250	\$ 12,000

* New Project

** Includes \$500,000 for ICITAP/Columbia

^{1/} Includes FY 88 ESF carryover

	<u>FY 89</u>	<u>FY 90</u>	<u>FY 91</u>
B. <u>Regional Democratic Initiatives</u>			
1. <u>CA Regional (ESF)</u>			
a. CA Regional Strengthening Democracy (597-0003)	1,400	1,550	1,500
b. CA Journalism (597-0031)	500 (DA)	1,500	1,300
c. Legislative Management (597-0040)	1,100	750	1,000
d. Citizen Participation* (597-0041)	-	500	1,000
e. Election Commodities Support*	-	250	200
Subtotal	\$ 3,000	\$ 4,550	\$ 5,000
2. <u>LAC Regional (ESF)</u>			
a. Human Rights Initiatives (598-0591)	1,300	1,350	1,600
b. Legislative Management (598-0770)	250	2,000	1,500
c. Citizen Participation* (598-0663)	-	1,500	1,700
d. Election Commodities* Support	-	250	200
Subtotal	\$ 1,550	\$ 5,100	\$ 5,000
3. <u>LAC Regional (DA)</u>			
a. Chile Leg. Mgmt. (CEAL) (598-0777)	500	500	500
b. Chile Civic Participation (Participa)	-	500	500
c. LAC Human Rights Initiatives (598-0591)	690	-	-
Subtotal	\$ 1,190	\$ 1,000	\$ 1,000
TOTAL	\$ 5,740	\$ 10,650	\$ 11,000

*New Project

Table 2
Summary Administration of Justice Program
((\$000))

PROGRAM	<u>FY 89*</u>	<u>FY 90</u>	<u>FY 91</u>
<u>Bilateral</u>			
Costa Rica	1,400	-	-
El Salvador	3,000	-	-
Guatemala	2,524	\$ 1,900	\$ 2,000
Honduras	-	1,300	-
Haiti	-	-	500
Jamaica	800	-	-
RDO/C	2,300	1,500	-
Bolivia	1,500	550	1,500
Ecuador	-	1,000	1,000
Peru	<u>500</u>	<u>500</u>	<u>-</u>
Subtotal	\$12,024	\$ 6,750	\$ 5,000
<u>Regional</u>			
CA	3,700	2,750	2,300
LAC	3,200	3,500	5,300
CA ICITAP	3,200	3,500	2,400
LAC ICITAP	<u>2,850</u>	<u>3,500</u>	<u>2,000</u>
Subtotal	\$12,950	\$13,250	\$12,000
TOTAL	\$24,974	\$20,000	\$17,000

* Includes FY 88 ESF Carryover

Table 3
Summary Democracy Table
(\$000)

PROGRAM	FY 90		FY 91	
	<u>DI</u>	<u>AOJ</u>	<u>DI</u>	<u>AOJ</u>
<u>Bilateral</u>				
Costa Rica	-	-	-	-
El Salvador	-	500	-	500
Guatemala	1,900	2,000	2,000	1,600
Honduras	1,300	3,700	-	-
Haiti	-	1,000	500	1,500
Jamaica	-	-	-	-
RDO/C	1,500	-	-	-
Bolivia	550	1,450	1,500	500
Ecuador	1,000	-	1,000	-
Peru	500	-	-	-
Subtotal	\$ 6,750	\$ 8,650	\$ 5,000	\$ 4,100
<u>Regional</u>				
CA	2,750	4,550	2,300	5,000
LAC	3,500	6,100	5,300	6,000
CA ICITAP	3,500	-	2,400	-
LAC ICITAP	3,500	-	2,000	-
Subtotal	\$13,250	\$10,650	\$12,000	\$11,000
TOTAL	\$20,000	\$19,300	\$17,000	\$15,100

C. Special Program Analyses

1. New Project Descriptions

The Office of Democratic Initiatives proposes a total of five new projects for the Action Plan period. Two of these new projects -- Administration of Justice Project/Chile and Administration of Justice/Uruguay -- will be developed in the field by the A.I.D. Representatives, who will be responsible for preparing the New Project Descriptions (NPD) at the appropriate time. Three NPDs are presented in this Action Plan: Election Commodities Support, Technical Assistance to Bar Associations II, and Citizen Participation. The attached Table 4 presents a summary of the funding requirements for the proposed new projects.

New Project Description

Goal: Strengthening Democratic Institutions

Objective: Support for the electoral process in those LAC countries with elections planned during CY 1989, 1990 and 1991.

Project Title: Election Commodities Support

Project Numbers: 598-0778
597-0049

Project Funding: FY 90: \$500 (G); LOP:\$900 (G)

Functional Accounts: Economic Support Funds (ESF)

A. Relationship to AID Strategy/Objectives: The democracy program is designed to improve the capability of key democratic institutions, e.g. judiciaries, legislatures, national election tribunals and voter registries. The program also strengthens professional, civic and community organizations and enhances the organizational leadership skills of the members of these organizations in order to increase citizen participation in local and national democratic decision-making. The proposed Election Commodities Support Project will directly address the needs of national election tribunals to organize and carry out elections in an efficient and effective manner consistent with the host-country environment.

B. Relationship to Host Country and Other Donors: This project will rely on direct financial support of the National Election Tribunals and/or other donors including bilateral A.I.D. Missions to finance the commodities required for the elections.

C. Conformance with Agency and Bureau Policies: The Project will require an exception to A.I.D. policy for competitive award of a Grant Agreement. This will be justified based on the unique capabilities of the grantee organization to carry out the proposed project.

D. Project Description: The project purpose is to provide a mechanism for the selection, procurement, and delivery of commodities and equipment required to conduct elections. The project will be carried out by the International Foundation for Electoral Systems (IFES). This organization will, in response to requests from USAID Missions and/or directly from National Electoral Tribunals, provide assistance in selecting, locating, procuring and shipping election commodities and equipment.

The kinds of commodities and equipment include ballot paper, ballot boxes, ballot bags, indelible ink, locks, computer hardware and software, voting booths, voting machines and vote counting machines. The services offered by IFES will include:

1. Needs Assessment and Commodity Development Plan: Based on an examination of the country's election process and procedures determine type and amount of commodities required. For example, the type of ballot (written or with symbols); method of printing and marking ballots; use of security ink; etc.. IFES will prepare a plan with detailed specifications and a proposed budget for review and consideration of the National Electoral Tribunal. In developing this plan, IFES will emphasize the selection of appropriate, locally available commodities.

2. Procurement: If commodities are not available in-country, IFES will, based on the Commodity Development Plan, solicit competitive bids from U.S. firms and ensure timely delivery of commodities. In essence, IFES will act as a procurement agent.

3. Training and Implementation: IFES will arrange for and/or conduct specialized training in-country, in the distribution, use and final disposition of the commodities.

4. Evaluation: A final report will be prepared on the procedural aspects of the election focusing on the commodities utilized and making recommendations for improvement and/or changes for future elections.

E. Implementing Agencies: The Grantee will be the International Foundation for Electoral Systems, a private, non-profit foundation. IFES has a network of election officials and experts with which it works and is in the process of building a data base with information on suppliers of all varieties of election commodities.

F. Method of Obligation: A Grant Agreement in accordance with the procedures outlined in the Handbook 13.

G. Management: The Project will be managed by LAC/DI staff. Bilateral Missions will transmit requests for assistance to LAC/DI who will transmit the requests to IFES.

H. PID and PP Approval: IFES will produce a PID like document for review and approval by August 31, 1989, and a PP-like document by October 1, 1989.

I. Potential Issues: None

New Project Description

Goal: Strengthening Democratic Institutions

Objective: To strengthen local and regional bar associations in the LAC region through conferences and training.

Project Title: Technical Assistance to Bar Associations II

Project Numbers: 598-0642
598-0002

Project Funding: FY 90: \$200 (G); LOP: \$700 (G)

Appropriation Account: Economic Support Fund (ESF)

A. Relationship to AID Strategy/Objectives: This project is consistent with the Bureau's Objective No. 12 in that it aims to expand the capacity of local institutions to improve the administration of justice. Specifically, this project seeks to strengthen local and regional professional organizations in order to promote services to members and to reinforce the role of the bar in judicial administration and legal reform in the LAC Region.

B. Relationship to Host Country and other Donors: No other donors are involved in this activity. However, the Implementing Agency, the ABA, will contribute its own resources to the project.

C. Conformance with Agency and Bureau Policies: The project relies solely on private sector involvement through both the implementing agency (the American Bar Association) and the target beneficiaries (private sector local and regional bar associations).

D. Project Description: The purpose of this project is to provide local bar associations with technical assistance in areas relevant to the administration of justice in their countries. Phase I of the American Bar Association's Central American Technical Assistance Project provided training in the

areas of commercial and labor arbitration to bar associations in Costa Rica, El Salvador, Guatemala and Honduras. It is anticipated that arbitration will provide a feasible, alternative means of dispute resolution outside the judicial system, thereby, reducing court backlogs and allowing for improvement in the processing of court cases and the overall quality and timeliness of judicial decisions.

This new project will continue ABA activities in Central America and extend them to South America including publication and distribution of the conference proceedings. In addition, new seminars on small claims courts, credit transactions, teaching methods in legal education, and legal information clearinghouses will be offered through local bars.

Phase I of the project generated intense interest and enthusiasm among lawyers in Latin America. The ABA identified lawyers in the region under Phase I who are able and willing to continue to act as project coordinators for their respective countries. These local coordinators along with U.S. and Spanish lawyers, also utilized in Phase I will continue to bring a powerful indigenous perspective to Phase II of the project, ensuring its sustainability through a useful exchange of information on legal reform throughout the LAC region.

E. Implementing Agency: The grantee will be the American Bar Association, a private voluntary bar association.

F. Method of Obligation: A Grant Agreement in accordance with the procedures outlined in Handbook 13.

G. Management: The project will be managed by LAC/DI.

H. PID and PP Approval: The ABA will produce a PID-like document for review and approval by October 1, 1989 and a PP-like document by November 1, 1989.

I. Potential Issues: None.

New Project Description

Goal: **Strengthening Democratic Institutions**

Objective: **To increase the level and effectiveness of active citizen involvement in local and national political processes.**

Project Title: **Citizen Participation**

Project Number: **598-0663**

Project Funding: **FY 90: \$2,000 (G) LOP: \$8,000**

Appropriation Account: **Economic Support Fund (ESF)
 Development Assistance (PSEE)**

A. Relationship to A.I.D. Strategy/Objectives: This project addresses Bureau Objective No. 12 by supporting efforts that enable individual citizens to participate effectively in democratic decision making at all levels, especially in their own communities. Widespread participation of an informed citizenry is fundamental to democratic governance and the development and strengthening of democratic institutions.

B. Relationship to Host Country and Other Donors: Host country private institutions, principally voluntary associations, will be the main beneficiaries and implementors of project activities. Some governmental cooperation is anticipated, e.g., Ministries of Education, municipal government officials; however, the assistance will not be provided to or through host governments. Once the program is established, other international donor support will be sought to expand and institutionalize project achievements.

C. Conformance with Agency and Bureau Policies: The project conforms with Agency and Bureau policies, particularly those of support for private voluntary organizations, strengthening democratic institutions, and expanding observance of civil and political rights.

D. Project Description: The objective is to build citizen participation from the bottom up through democratic education for young people, civic and community education for adults, and promotion and strengthening of citizens organizations that can influence the policies and direction of decision-making institutions in their countries. The project will have two principal components.

1. Democracy Education for Children and Youth: This component will support expansion of a pilot program carried out in 1986 in six elementary schools in Guatemala by a local PVO (ASIES), with the help of a visiting Fulbright professor. It introduced and trained teachers in experimental curriculum called Philosophy for Children (P4C), designed specifically to instill democratic values and attitudes. In light of P4C's excellent reception by the schools and communities involved, the Ministry of Education supports ASIES' proposal to expand and test the program in communities throughout the country, with the expectation of adopting it into the school curriculum nationwide. In addition to the Guatemala experiment, the project will support regional workshops and pilot programs in other LAC countries, utilizing the growing network of P4C organizations in the region.

2. Community Education: This component will build on the volunteer networks and community education capacity developed by existing programs of Partners of the Americas and OEF International in Central America, and by other groups, such as the Crusade for Citizen Participation in Chile. Through training of promoters and technical advice, it will support urban and rural community education programs that help local groups solve problems and improve their ability to obtain essential goods and services. The project will also seek to expand and strengthen local civic education organizations, such as Conciencia in Argentina and similar groups it has helped form elsewhere in the region.

E. Implementing Agencies: A wide range of U.S. and Latin American implementing agencies is envisioned. Initial grantees will include the Partners of the Americas, OEF International and ASIES to enable them to continue and build upon the experience and contacts developed under previous A.I.D.-funded projects. Priority will be given to Latin American organizations, such as civic education groups modeled on Conciencia, or Participa in Chile; or to U.S.-based PVO's whose primary purpose is the institutional strengthening of these organizations.

F. Method of Obligation: Four to eight Grant Agreements in accordance with Handbook 13.

G. Management: The project will be managed by LAC/DI, in coordination with A.I.D. missions, as appropriate.

H. PID and PP Approval: LAC/DI will prepare a Program Document that will set forth the objectives of the program and that will examine various methods of financing and implementation for a competitive grants program in citizen education.

I. Potential Issues: None.

Table 4
Summary New Project Funding Levels
(\$000)

	<u>FY 90</u>	<u>FY 91</u>	<u>LOP</u>
<u>Administration of Justice (ESF)</u>			
1. <u>Central America Regional</u>			
Private Sector Grant to ABA, etc.	200	-	700
2. <u>LAC Regional</u>			
A. Chile/AOJ*	-	1,000	1,000
B. Private Sector Grant to ABA, etc.	-	500	700
C. Uruguay/AOJ*	-	500	500
<u>Democratic Initiatives</u>			
1. <u>CA Regional (ESF)</u>			
A. Citizen Participation	500	1,000	8,000
B. Election Commodities Support	250	200	900
2. <u>LAC Regional (ESF)</u>			
A. Citizen Participation	1,500	1,700	8,000
B. Election Commodities Support	<u>250</u>	<u>200</u>	<u>900</u>
Total	\$ 2,700	\$ 5,100	\$20,700

*ADC reps will submit NPDS at appropriate time.

WANG #7553A

2. Women in Development

LAC/DI, at present, does not have a specific strategy in support of the Agency's WID efforts. Nonetheless, we think that the Democracy portfolio provides a framework for integrating women into the mainstream of the political and professional life of their respective countries. For instance, voter education and civic participation projects, while not geared directly at women, support their inclusion in political decision-making both at the local and national level. Furthermore, women have the opportunity to participate equally in the seminars, workshops, conferences and professional exchanges available under our projects. It is worth noting that participant lists reveal the presence of women lawyers at numerous AOJ seminars and conferences in Central America. In addition, some of our private bar grantees are in close contact with Central American women bar associations, and have sponsored programs on family law addressed to women. LAC/DI expects this type of cooperation to continue. For example, ILANUD is contemplating research addressing the specific problems faced by female offenders and the sensitivity of Latin American legal systems to gender-related issues.

During the Action Plan period, LAC/DI will be working with individual projects to establish baseline information to determine the extent of women's participation in project activities and, where appropriate, will disaggregate indicators on the basis of gender. Also, LAC/DI will request that PPC/WID review its revised Strategy Statement for WID sensitivity. We will also explore with them the possibility of financing for special WID projects and/or studies, where appropriate.

Part III. Management

A. Management Strategy and Staffing Issues

1. AID/W

With the addition of one full-time professional staff (candidate identified and in process), and the conversion of the AOJ advisor position from an ARA slot to a LAC slot, we believe that the DI office can effectively manage its LAC/CA Regional portfolio and provide improved backstopping to bilateral democracy programs. The exception is in the area of support staff. In order to support 5 full-time and very busy professionals, the part-time, 32 hour per week secretary should be converted to a full-time position early in the Action Plan period.

During the Action Plan period, LAC/DI, projected to be at full strength sometime during the summer of 1989, plans to provide closer backstopping and assistance to bilateral democracy projects, including more frequent field visits to assist in design, implementation, evaluation, and overall monitoring activities of the democracy program. Lastly, since we will have 5 professional staff, LAC/DI qualifies, according to A.I.D.'s organizational precepts, as an Office rather than a Staff. We plan to submit the official memorandum on this change as soon as our fifth person is on board.

The organizational upgrading to an office will enhance our "image" with the bilateral Missions and LAC counterpart institutions with whom we work.

2. Field Missions

During the past two Fiscal Years we have assisted bilateral Missions to identify PSC AOJ/Democracy officers for their programs. We have also urged Missions to assign USDH personnel in supervisory positions on all the bilateral democracy projects (generally BS-12 or BS-94). This has occurred in almost all cases where we have ongoing Democracy programs. However, the identification of personnel, both USDH and PSC, has been on an ad hoc, as needed basis. LAC/DI began working with the Career Development staff of the Foreign Service Personnel Division to identify the required characteristics of DI officers to fill the USDH positions and to poll, informally, employees in relevant backstops for interest in assignment or training in the DI area during the Action Plan period. The poll will be initiated shortly.

In the interests of establishing in-service training for USDH and PSC officers, we propose during the Action Plan period the development of a "technical sector training" program of one-two weeks duration, similar to the education, health, private sectors officer training now offered by the Agency. This training, because it is in such a specialized area, should be contracted out to a qualified university. LAC/DI has received an unsolicited proposal from Florida International University's Latin American and Caribbean Center and its Center for the Administration of Justice to conduct a ten day special seminar on democratic development and administration of justice in Latin America. The objectives of the seminar would be: (1) to provide participants with state-of-the-art analysis on the problems and prospects for the continuation of democratic governance in the region; (2) to sensitize project officers to the cultural and political norms and social and economic issues that can affect project development; and (3) to provide a forum for information sharing among participants about their respective projects and future activities. Prominent experts in the field would be used. This seminar would be funded by Agency OE funding for technical training, as is the case with the other sectors. Estimated costs would be \$35,000, excluding travel and per diem for the participants. If the Democracy Program goes worldwide, this course could be broadened to include other regions.

B. Operating Expenses

In addition to technical training in the Democracy Program, LAC/DI proposes one retreat each year of the Action Plan period for AID/W, RAJO, bilateral Mission staff, and ADC Reps. working on AOJ/DI programs. This retreat would be in late October or early November in FY 1990 and FY 1991 and would bring together the "democracy practitioners" in A.I.D., i.e., the project managers, for discussion of: strategy, project implementation, program problems and constraints, future program directives, and congressional interest in the program. Missions would fund travel and per diem of the individual participants. The LAC/DI OE budget would cover all other conference costs, including a conference facilitator. Estimated OE costs for the LAC/DI budget is approximately \$2,500 in FY 1990 and \$2,800 in FY 1991.

Because LAC/DI's new management strategy calls for closer backstopping of field activities, especially in those countries where we have no bilateral Missions (Columbia, Chile, Paraguay, Uruguay, Argentina), and initially in countries which may transition to democracy before an A.I.D. Mission is

established (i.e. Nicaragua, Panama), and because our regional portfolio of activities has increased on the DI side by three new projects (Legislative Management, Civic Participation, and Election Commodity Support), we are asking for a small increase in our OE funded travel over the FY 1989 level to \$25,000 during each year of the Action Plan period.

With five professional staff traveling and GAO, RIG and Congressional special reports and audits planned for the AOJ/Democracy activities during the Action Plan period, it is essential that LAC/DI staff be on top of the program at all times.

C. Evaluation Plan

FY90

FY91

- | | |
|--|---|
| <ol style="list-style-type: none">1. <u>CA Journalism: Interim Evaluation</u> (597-0031)2. <u>LAC/CA Regional AOJ: ABA/IABF Components</u> (597-0002/598-0642)3. <u>CAPEL/IIDH: End of Project Evaluation</u> (597-0003/598-0591)4. <u>Chile Civic Participation (Participa - \$470,000): End of Project Evaluation</u> (598-0591)5. <u>Chile/AOJ (funded under LAC/CA Regional AOJ)</u> (597-0002/598-0642)6. <u>ICITAP: Interim Evaluation</u> (597-0018; 598-0644) | <ol style="list-style-type: none">1. <u>LAC/CA Regional AOJ- ILANUD/ FIU Special Focus: Institutional Viability</u> (597-0002/598-0642)2. <u>NED/Paraguay Grant (598-0591): End of Project Evaluation</u> (598-0591) |
|--|---|

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REGIONAL ADMINISTRATION OF JUSTICE AND DEMOCRATIC
 INITIATIVES PORTFOLIO OF ACTIVE PROJECTS
 (\$ Millions)

Administration of Justice (ESF)

<u>Project</u>	<u>Amount LOP</u>	<u>Project Obligated (Thru FY 88)</u>	<u>Project Completion Date</u>
<u>Regional</u>			
1. <u>Regional Administration of Justice (598-0642/597-0002)</u>			
A. ILANUD	25.8	12.2	12/92
B. Amer. Bar Asso.	.291	.291	10/89
C. Inter-Amer Bar Found	.639	.450	02/91
D. Amer. Soc. Int'l Law	.85	.85	07/89
E. Colombia Adm. of Just.	2.175	1.175	12/92
F. Chile Adm. of Justice	.200		09/90
G. ICITAP	Continuing	10.4	Continuing
H. Tech. Services for AOJ	1.550	1.550*	12/91
I. Argentina	.200	---	12/90

* FY 88 ESF/AOJ carry over. To be obligated July 1989

2. Bilateral AOJ Projects

A. El Salvador Judicial Reform (519-0296)	9.5	9.5	12/89
B. Guatemala Improved AOJ (520-0369)	5.0	1.1	09/91
Guatemala Harvard	1.483	1.483	08/90
C. Honduras Strengthening Democratic Inst. (522-0296)	16.0 (2.9 AOJ)	11.0	08/91
D. Costa Rica: Justice Sector Improvement. (515-0244)	2.9	1.5	09/91
E. RDO/C/Jamaica: Caribbean Justice Imp. (598-0645)	10.0	7.4	08/91
F. Peru: Adm. of Justice (527-0303)	2.850	2.350	12/89
H. Bolivia Justice Sector (511-0609)	.500	.500	12/89

* Bolivia Judicial Sector Improvement (511-0587) 7.0 - 12/92
 * Not yet authorized

Democratic Initiatives (ESF&DA)

<u>Regional Projects</u>	<u>LOP</u>	<u>Amount Obligated Thru FY 88</u>	<u>Project Compl. Date</u>
1. C.A. Strengthening Demo. (597-0003)	Con't	6.281	Con't
Education Participation (OEF)	.2.268	2.268	03/89
Seminars for Leg' Leaders (Center for Democracy)	.351	.351	03/89
Role of Political Parties (American University)	.373	.373	12/89
Civil/Military Relations Demo. (American Univ.)	.226	.226	12/89
Strengthening Democratic Process (P. of the Amer.)	2.122	2.122	03/89
Strengthening Participation of Indig. Groups. (Cultural Survival)	.277	.277	08/89
2. Journalism Strengthening (597-0031)	12.000	2.107	03/93
3. LAC Human Rights Initiatives (598-0591)	Con't	---	Con't
Assistance to IIAR	2.756	1.875	08/91
Assistance to CAPEL	3.140	1.426	08/91
Chile Voter ED	1.285	1.285	02/89
Chile Voter ED Evaluation	.72	.72	Terminated
Chile Observer Mission	.100	.100	Terminated
Haiti Human Rts (IHRED)	.250	.250	12/89
Surinam Human Rts	.40	.40	12/89
Paraguay Democracy Assis.	.500	*	12/89
Haiti/Bolivia Demo.Assis.	.248	*	12/90
Grant for Civic participation in Chile	.470	*	06/90

4. Legislative Management (598-0770/597-0040)	11.0	*	06/93
5. Regional Democratic Practices and Principles (598-0663/557-0041)	6.0	*	06/94

* To be authorized in FY 89

2. Bilateral Projects

a. El Salvador : Legislative
Assembly Strengthening .500 .500 09/89
(597-0003)

b. El Salvador : Election
Assistance \$1.700 \$1.700 06/89
(in local currency)

c. El Salvador : Human Rts
Commission (GOES) \$1.500 04/89
(in local currency)

d. Guatemala :
Strengthening Democracy 2.700 1.265 07/90
(597-0003.10)

e. Guatemala : Election
System Support (520-0378) .600 .600 03/89
(An .800 amendment in FY 89 is planned)

f. Guatemala :
Office of Human Rts. .300 .300 03/89
Ombudsman (to be extended)
(597-0003.10)

g. Bolivia :
Democratic Institutions .450 .450 12/89
(511-06100)

h. Bolivia :
Strengthening 10.0 * 12/92
Demo. Institutions
(511-0587)

i. Honduras :
Strengthening 16.0 11.0 08/91
Democratic Institutions
(522-0296) (13.1 Democratic Activities)

* To be Authorized in FY 89
Doc. 7418A